

2500	AUTOMATED SYSTEMS	Page
<u>2501</u>	Overview	2500-1
<u>2502</u>	Description of ASSISTS	2500-1
<u>2503</u>	Description of Other Systems and Interfaces	2500-2
<u>2503.1</u>	ALTCS	2500-2
<u>2503.2</u>	PMMIS	2500-3
<u>2503.3</u>	AZTECS	2500-3
<u>2503.4</u>	DMAL	2500-4
<u>2503.5</u>	FMCS	2500-5
<u>2503.6</u>	INC	2500-5
<u>2503.7</u>	CFTS	2500-5
<u>2503.8</u>	APIS	2500-5
<u>2503.9</u>	USAS (AFIS II)	2500-6
<u>2503.10</u>	DNHS	2500-6

2500	AUTOMATED SYSTEMS, cont.	Page
<u>2504</u>	DES/DDD's Systems Development Plan	2500-7
<u>2505</u>	Data Security	2500-8

2500 AUTOMATED SYSTEMS

2501 Overview

This chapter provides an overview of the automated systems used by, or that have an impact on, DES/DDD. It includes a brief description of each system, and discusses the data security requirements to which DES/DDD staff must adhere. It also describes DES/DDD's systems development plans.

2502 Description of ASSISTS

The Arizona Social Services Information and Statistical Tracking System (ASSISTS) is DES/DDD's automated system that is used on a State wide basis to maintain information on each individual that receives services from DES/DDD and each contracted provider. It also supports the purchase and delivery of social services across the State.

Upon entry of initial identifying or demographic information, a unique identification number is assigned to each individual. After this step, the Support Coordinator assesses the individual's needs and determines which services are necessary. Depending on the individual's service needs, appropriate eligibility is established.

Once services have been identified through the Individual Support Plan (ISP) process, the Support Coordinator must enter the service data onto ASSISTS and services are opened for the individual. Services can be direct (provided by DES/DDD staff), purchased through a contracted provider or indirect (referred to a community agency).

ASSISTS is composed of integrated modules, each with a number of data input and display screens. A description of the modules and their capabilities follow:

- a. State Office - this module inputs master system control data, such as code reference tables, District budgets, worker tables and all service data (descriptions, rates, fund sources, etc.)
- b. Administrative - this module displays the State Office Module information to authorized Central Office and field staff;
- c. Client Pathway - this module searches for, builds and maintains records for individuals with developmental disabilities (demographic, medical, benefits, evaluations,

State and ALTCS eligibility, etc.); assigns identification numbers and displays billing and payor/payee data;

- d. Client Authorization - this module updates and displays service plans, purchased and direct service authorizations and waiting lists for individuals with developmental disabilities;
- e. Provider - this module updates and displays provider data, such as approvals for service delivery, provider resources and characteristics, provider vacancies and contract controls; and
- f. Payments Processing - this module inputs and displays all payment data, and interfaces with the Financial Management Control System (FMCS), DES automated system that tracks all of the Department's revenues and expenditures.

ASSISTS is also used by DES/DDD management to produce service utilization reports and obtain information about individuals with developmental disabilities to facilitate future planning. Reports that can be generated on-line or as paper reports include, but are not limited to, caseload summaries, error audits, provider and individual extracts and directories and contract and licensing expirations.

ASSISTS is linked to the Prepaid Medicaid Management Information System (PMMIS), AHCCCS automated system. It is through this interface that AHCCCS tracks the information it needs to reimburse DES/DDD for services provided to individuals who are DD/ALTCS eligible.

All DES/DDD Support Coordination and data entry staff must ensure that ASSISTS information is correct, timely and entered according to the guidelines contained in the ASSISTS Manual. If information is not entered correctly, it can result in DES/DDD not receiving the proper reimbursement for services provided to DD/ALTCS eligible individuals.

2503 Description of Other Systems and Interfaces

2503.1 ALTCS

The Arizona Long Term Care System (ALTCS) is AHCCCS' automated system that determines and maintains financial and medical eligibility for the LTC program. It consists of two subsystems:

- a. LEDS (LTC Eligibility Determination Subsystem) - this is the primary tool used by AHCCCS Bureau of Financial Eligibility to record receipt of applications from individuals requesting LTC services, determinations of financial

eligibility and calculations of share of cost to be paid by the applicant for his or her own medical care;

- b. CATS (Client Assessment and Tracking Subsystem) - this is the primary tool used by AHCCCS Bureau of Medical Eligibility to apply and monitor preadmission screening (PAS) activities for the medical eligibility determination, track individuals in support of the on-going Support Coordination function, track Support Coordination activities and complete/record inspection of care tasks. Support Coordinators may access CATS.

2503.2 PMMIS

PMMIS is AHCCCS State wide automated system designed to satisfy the unique processing and reporting needs of that agency and the programs it administers. ALTCS is a sub-system of PMMIS. PMMIS integrates fee-for-service claims processing with prepaid health plan encounter processing for all AHCCCS members to monitor the quality of medical care and to control total program expenditures. PMMIS maintains and monitors contractual, organizational, operational and financial information for the prepaid, capitated health plans (and program contractors) to assist them to provide quality medical care, comply with their contractual requirements and remain financially viable.

In addition, PMMIS provides extensive information retrieval and reporting capabilities in order to satisfy the information needs of AHCCCS, the Health Care Financing Administration, other State and federal agencies, counties, health plans, providers and recipients.

2503.3 AZTECS

The Arizona Technical Eligibility Computer System (AZTECS) is the DES automated eligibility determination system that is used by the Division of Benefits and Medical Eligibility (DBME) eligibility workers. It supports the Aid to Families with Dependent Children and Food Stamps programs.

AZTECS allows other agencies (including AHCCCS) to inquire into the system to determine if applicants for their programs are receiving any assistance from DES/DBME. AZTECS is the primary automated system for DBME and drives its other systems. It interfaces with the Social Security Administration, Job Service, Division of Employment and Rehabilitation Services, Division of Child Support Enforcement, the Assistance Programs Information System (APIS), ASSISTS and others. AZTECS also serves as a link between DES and AHCCCS by providing individual and eligibility information to AHCCCS. Information that is stored in APIS is combined with AHCCCS information stored in AZTECS. This combined data is copied onto computer tape nightly and provided to AHCCCS for processing on PMMIS.

2503.4 DMAL

DMAL is the electronic communication system that is utilized by DES. Any DES employee, with access to the system, can send business related messages to other employees who also have access to the system. The system has the capability to keep the user's calendar. It also has a bulletin board function so users can transmit information or requests for information to a select group of DES employees.

DMAL is a business tool which should be used only to communicate those official issues that would otherwise be sent by written memorandum. It is not intended to be used when a simple telephone call or face-to-face discussion can address the issue or question.

The following DMAL guidelines apply to DES/DDD users:

- a. all users must receive training on the system;
- b. no user will have more than one user ID;
- c. a user will be denied access to DMAL for misuse or violation of DMAL's security rules, misuse of control authority, if used for other than DES business or if not used for 30 days;
- d. users should enter DMAL at least once a week to check for messages received and to follow-up on messages sent, and thus prevent deletion because of inactivity;
- e. users should refer problems that occur when printing DMAL messages to the Division of Data Administration's Help Desk at the number noted in the Appendix. All other DMAL related problems should be referred to the DES/DDD Information Specialist at Central Office;
- f. messages should not be made permanent at the time they are composed. Messages to be retained by the sender or receiver should be printed or filed in the DMAL filing cabinet;
- g. messages will be purged according to the following time schedule:
 1. in-basket messages that have been read and are more than 14 days old;
 2. in-basket messages that are unread and are more than 30 days old; and
 3. out-basket messages, composed but not sent, that are more than 30 days old.

- h. messages placed in the DMAL filing cabinet must be reviewed periodically by the user. Old, unneeded messages should be deleted to maintain a minimum number of items on file. Messages may be lost when the files become too full.

2503.5 FMCS

The Financial Management Control System (FMCS), DES on-line accounting system, tracks all of the Department's revenues and expenditures. It obtains payment data from ASSISTS and passes this information to the Department of Administration's Uniform Statewide Accounting System (USAS) for check generation. It also tracks all accounting transactions that may be required by Department, State or federal mandates and prepares all financial statements and reports.

2503.6 INC

DES/DDD contracts with Information Network Corporation (INC) for its acute care management information processing. INC's system, like ASSISTS, is an integrated module system that collects and retains member and provider demographics, assigns members to health plans or providers and exchanges encounter data with ASSISTS and PMMIS.

2503.7 CFTS

DES Client Funds Tracking System (CFTS) is a component of the Department's mainframe that tracks the funds of individuals with developmental disabilities who are unable to manage their own money. CFTS records all deposits that are made to DES/DDD on behalf of each individual, and issues checks for the individual, as appropriate.

2503.8 APIS

The Assistance Programs Information System (APIS), integrates certain DES programs into one of two computer files. Currently, APIS maintains individual information for the Medical Assistance Only (MAO) program, as well as State funded assistance programs, such as General Assistance, Emergency Assistance, Supplemental Payments Program, and Tuberculosis Control.

APIS also serves as a link between DES and AHCCCS by providing individual and eligibility information to AHCCCS. Information stored in APIS is combined with AHCCCS information stored in AZTECS. The combined data is copied onto computer tape nightly and provided to AHCCCS for processing in PMMIS.

2503.9 USAS (AFIS II)

The Uniform Statewide Accounting System (USAS), also called the Arizona Financial Information System II (AFIS II), is Arizona's mainframe accounting system. Managed by DDA, USAS is a double entry accounting system that records and tracks revenues and expenditures of each State agency and issues all State government checks. Once payment data is entered on ASSISTS, it passes through FMCS for recording, and is then sent to USAS for payment issuance.

2503.10 DNHS

The Data Network for Human Services (DNHS) is a unique public and private partnership with a mission to contribute to the effective and efficient delivery of human services by providing information and encouraging its use in decision making by policy makers, planners, funders and others in Maricopa County. DNHS achieves this mission by collecting data and publishing standard or ad hoc reports in the following areas:

- a. demographics - census data comparing 1980, 1985, 1990 by selected geography within Maricopa County;
- b. socioeconomic indicators and needs - an annual report with 27 indicators, i.e., suicides, and needs data;
- c. services and funding - annual survey collects funding by service, target group, dollar source and amount from more than 340 public and private agencies; and
- d. client characteristics - 205 agencies report the characteristics of their individuals by service, age, ethnicity, income, etc. (DES/DDD) reports individual characteristics from ASSISTS.

DNHS publishes standard reports regularly and also can provide ad hoc reports individualized to meet the requestors special data requirements. DNHS is not a client tracking system and does not collect individual address, name, SSN or any other individual identifier, thereby ensuring individual confidentiality.

DES/DDD can request copies of standard reports by calling 274-7999. All standard reports are provided to DES/DAS. Requests for information can also be made through DAS.

2504 DES/DDD's Systems Development Plans

DES/DDD's current systems infrastructure is mainframe dominant with 338 terminals supporting about 1,000 users located across 29 sites. Approximately 100 microcomputers provide some office automation support and with the exception of the Novell Local Area Network (LAN) in several offices, are not connected. The Central Office LAN is linked to the DES mainframe.

DES/DDD's General Systems Design (GSD), issued in June 1992, will serve as the standard for documenting automated system requirements and future activities. The Information Systems Unit (ISU) will update the GSD whenever systems definition tasks are completed and approved.

The GSD explained DES/DDD's future systems development activities. During development, a dedicated microcomputer processor (6GB, 80 MB RAM, 50 MHz), operating on the Central Office LAN, linked to the DES mainframe, will parallel ASSISTS, performing separate and duplicate processing tasks. A copy of the ASSISTS database will be maintained by the dedicated microprocessor. The mainframe will be updated daily and retain master copies of the database. A monthly reconciliation will be performed through an upload of microcomputer files.

Initial development objectives will include standardizing management reporting, providing Support Coordinators with flexible data collection and office automation tools and automating DES/DDD's computer system analysis, design, development, implementation and post-implementation review activities.

An equipment acquisition plan will be developed so that DES/DDD staff have the equipment they need to perform their job responsibilities. The Division of Data Administration's services may be required for installation of mainframe and LAN hardware, software and connecting devices.

A comprehensive training plan will be developed for users, ISU programmers and operations support staff by Administrative Operations trainers, with the assistance of ISU. The plan will identify curriculum, reference manual and training requirements. Administrative Operations trainers will maintain all user reference materials.

2505 Data Security

DES/DDD complies with the Department's data security policies, which are contained in DES Data Security Users' Guide (Publication HPZ-062). DES data is confidential and must be protected in accordance with federal and State laws, regulations and directives. The Department has implemented measures to protect its data against loss, unauthorized modification, improper destruction, misuse or unauthorized disclosure, whether accidental or intentional. This includes data, computer hardware and software.

Each DES employee is responsible for safeguarding data and ensuring that data is not misused or obtained by unauthorized persons. Every outside user of DES data must also ensure data security.

All DES/DDD employees and users of DES/DDD data are prohibited from:

- a. revealing DES data to other DES employees or outside individuals who are not authorized to have access to it;
- b. attempting or achieving access to DES data that they do not need to complete their job duties;
- c. entering, altering, or erasing DES data for direct or indirect personal gain or advantage;
- d. entering, altering, or erasing DES data maliciously or in retribution for real or imagined abuse or for personal amusement;
- e. using DES terminals, printers or other equipment for other than work-related purposes;
- f. using another employee's data access control identifier and password;
- g. revealing his/her DES password to another person;
- h. asking another user to reveal his/her DES password; or
- i. making any exceptions to DES security policy without prior approval from the appropriate Assistant Director and the Data Security Officer.

DES/DDD employees are also forbidden from making copies of State owned software and must not use State hardware to make copies of any copyrighted software for the purpose of selling, giving or lending it to others.

A breach of these policies or misuse of Department property, including computer programs, equipment and/or data, may result in disciplinary action including dismissal or prosecution in accordance with A.R.S. §13-2316.

Known or suspected violations of data security should be reported to DES/DDD's Security Representative at the number noted in the Appendix or your supervisor.